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RECORDS MANAGEMENT DESK INSTRUCTION

LOS ALAMOS YUCCA MOUNTAIN PROGRAM

APPROVAL FOR RELEASE	
K. A. WEST - PREPARER Signature on file.	DATE Date on file.
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Los Alamos
Yucca Mountain Site Characterization Project

HISTORY OF REVISIONS

REVISION NO.	EFFECTIVE DATE	PAGES REVISED	REASON FOR CHANGE
R0	02/20/97	N/A	New desktop instruction procedure. To be used as a supplement to AP-17.1Q.

RECORDS MANAGEMENT

1.0 PURPOSE

This desk instruction describes the records management process for the Los Alamos National Laboratory (Los Alamos) Yucca Mountain Site Characterization Project (YMP). It provides further guidance for implementing YMP records management requirements stated in the Yucca Mountain Site Characterization Office (YMSCO) procedure AP-17.1Q.

2.0 SCOPE

2.1 This desk instruction applies to inclusionary records generated under the Los Alamos Yucca Mountain Program.

2.2 This desk instruction applies to all Los Alamos and Los Alamos-subcontractor YMP personnel (hereafter referred to as YMP personnel) who work under the Los Alamos YMP quality assurance program.

NOTE: In the event of a question, please consult the Records Coordinator and/or refer to AP-17.1Q.

3.0 REFERENCES

AP-16.1Q, Performance/Deficiency Reporting
AP-17.1Q, Record Source Responsibilities for Inclusionary Records
DOE/RW-0333P, Office of Civilian Radioactive Waste Management Quality Assurance Requirements and Description (QARD)
YMP/90-55, Yucca Mountain Site Characterization Project Q-List

4.0 DEFINITIONS

4.1 Accession Number

An accession number is a unique identifier assigned by the YMSCO to each indexed program record (e.g., NNA.911226.0014).

4.2 Authentication

Authentication is the act of attesting that the information contained within a document, that is becoming a quality assurance record, is accurate and completed appropriate to the work accomplished.

4.3 Cited Reference

A cited reference is a specific document that is referenced in the text of a LA-MS report.

4.4 Indeterminate

Indeterminate is a designation for records or records packages that were generated before January 22, 1991 and were intended to be quality supporting but could not, without further review or revision, be assigned a quality assurance (QA) designation. The records or records packages may be evaluated at a later date, in accordance with appropriate YMP procedures, to obtain a QA designation.

4.5 Legibility

Legibility is the characteristic of a record that enables it to be read or the contents deduced. Deduction of information on a record may be determined by the context in which information is used or through reference numbers, such as form numbers and purchase order numbers, that lead to the discovery of the information from within the same record or records package.

4.6 Record

A record is any book, document, paper, map, photograph, machine-readable material, or other documentary material, regardless of physical form or characteristic, made or received by an agency of the U.S. Government or in connection with the transaction of public business and preserved or judged appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data contained within. Physical samples, library and museum materials made or acquired and preserved solely for reference or exhibition purposes, extra copies of records preserved only for convenience of reference, and stocks of publications and of processed documents are not included. The generic term "records" is used in this desk instruction to include all types of records as specified below.

4.6.1 Electronic Record

An electronic record is any information that is recorded in a form that only a computer can process and that satisfies the definition of a record.

4.6.2 Inclusionary Record

A record that is relevant to the OCRWM program and is not excluded from the OCRWM Records Management System in accordance with exclusions defined in 10 CFR 2, Subpart J. Inclusionary records include QA and non-QA records.

4.6.3 Individual Record

An individual record is any record that is complete unto itself, which could be placed in a records package.

4.6.4 Non-Quality Assurance Record

A non-quality assurance record is any record as defined in subsection 4.6 but one that does not meet the definition of a quality assurance record as defined in subsection 4.6.9.

4.6.5 Non-Record Material

Non-record material is any document that does not meet the definitions of quality assurance records or non-quality assurance records.

4.6.6 One-of-a-kind Record

A one-of-a-kind record is a record that cannot be imaged or duplicated.

4.6.7 Primary Record

A primary record is the result of a Los Alamos YMP quality administrative procedure and is the principal record in a records package (e.g., a scientific notebook and attachments, technical information product, purchase request, or audit report).

4.6.8 Privileged Record

A privileged record is a record to which access is controlled due to statutory, legal, or security requirements (e.g., employee training records).

4.6.9 Quality Assurance Record

A quality assurance record is a completed record that furnishes evidence as to the status of work compliance with *Quality Assurance Requirements and Description* requirements. Los Alamos YMP quality assurance records result from work performed according to YMP implementing documents (e.g., Los Alamos YMP quality administrative procedures or detailed technical procedures or Project Office administrative procedures). Each Los Alamos YMP quality assurance record is a “lifetime quality assurance record” because it provides evidence of one or more of the things described in subsections 4.6.9.1 through 4.6.9.5.

4.6.9.1 Quality of activities related to items on the YMP Q-List, YMP/90-55.

4.6.9.2 Quality of site characterization data and samples.

4.6.9.3 Activities that provide data used to assess the potential dispersion of radioactive materials from the proposed licensed facility.

4.6.9.4 Training and qualification of individuals executing quality assurance program requirements.

4.6.9.5 Implementing documents as described in Section 5.0 of the QARD.

4.6.10 Records Package

A records package is a collection of records that includes a primary record (e.g., a scientific notebook, technical information product, purchase request, or audit report) and its supporting records (e.g., memoranda or attachments) or a collection of records supporting one topic and filed as a case file.

4.6.11 Special-Processed Record

A special-processed record is a record that cannot be imaged, but can be duplicated (e.g., magnetic media).

4.7 Records Coordinator

NOTE: The Los Alamos YMP Records Coordinator is located in Los Alamos, NM. The Records Coordinator EES-13/LV may perform various Records Coordinator tasks in the Los Alamos YMP office, Las Vegas, NV.

The Records Coordinator receives, protects, retrieves, and transmits records to the Records Processing Center (RPC) in accordance with AP-17.1Q.

4.8 Record Source

A Record Source is any employee who generates Los Alamos YMP records, or receives records from another source, and transmits them to the RPC.

4.9 Traceability Designator

A word or code that aids in the ability to trace the history, application, or location of an activity, item, data, or sample using recorded documentation. For Los Alamos YMP QA records, a traceability designator is a unique alphanumeric identifier assigned to a primary QA record, as defined in subsection 4.6.7, that is used to assist with records traceability and retrievability. For Non-QA records, the traceability designator may be the Study Plan number, WBS number, or other numeric or key word identifier.

5.0 RESPONSIBILITIES

The following personnel are responsible for activities identified in Section 6.0 of this desk instruction.

- Record sources
- Records Coordinator
- Records Coordinator EES-13/LV
- Supervisors

NOTE: Records Coordinators were previously identified as RPC Operations Coordinators

6.0 PROCEDURE

The use of this desk instruction must be controlled as follows:

- If this desk instruction cannot be implemented as written, YMP personnel should notify appropriate supervision. If it is determined that a portion of the work cannot be accomplished as described in this DI, or would result in an undesirable situation, that portion of the work will be stopped and not resumed until this desk instruction is modified or replaced by a new document that reflects the current work practice.

- YMP personnel may use copies of this desk instruction printed from the controlled document electronic file; however, YMP personnel are responsible for assuring that the correct revision of this desk instruction is used.

- When this desk instruction becomes obsolete or superseded, it must be destroyed or marked “superseded” to ensure that this document is not used to perform work.

NOTE: Los Alamos YMP personnel usually forward records to the Los Alamos Records Coordinator, and EES-13/LV YMP personnel usually forward records to the EES-13/LV Records Coordinator. Throughout the rest of this desk instruction both Record Coordinators will be referred to as “Records Coordinators.”

6.1 Identification of Records

The **Record Source**, using Attachment 1, implements subsections 6.1.1 and 6.1.2.

6.1.1 Determines whether or not a record, as defined in subsection 4.6, that was received from an outside source (e.g., a letter) or that was generated by the Record Source (e.g, a memorandum or a document resulting from a quality administrative procedure) is to be included in the YMP records management system.

6.1.2 If the record is to be included in the YMP records management system, determines if it is a quality assurance record or non-quality assurance record.

6.2 Protection of Potential Records

The **Record Source** should observe the precautions stated in subsections 6.2.1 through 6.2.5 to protect potential records from deterioration, damage, or loss until the records are transmitted to the Records Coordinator.

6.2.1 Keep liquids at a reasonable distance to protect against damage from spillage.

6.2.2 Keep smoking materials and other heat sources at a reasonable distance to prevent scorching or burning.

6.2.3 Keep magnetic media at a reasonable distance from sources of magnetic fields (including telephones) to prevent loss of recorded information.

6.2.4 When not in use, or outside business hours, keep potential records locked in a secured area.

6.2.5 Protect QA records that are part of a records package that have been completed for more than 90 days by placing them in temporary storage, providing dual storage, or submitting them to the RPC for protection.

NOTE: Temporary storage consists of storage for up to one year in a container or facility that bears an Underwriter's Laboratories label (or equivalent) certifying 1-hour fire protection, or is certified by a person competent in fire protection. Dual storage consists of copies of QA records located sufficiently remote from one another to eliminate chance exposure to the same hazard. At the end of one year, records in temporary storage are submitted to the RPC.

The **supervisor** implements subsections 6.2.6 and 6.2.7.

6.2.6 Protects privileged records (e.g. training files retained for information purposes) from unauthorized access.

6.2.7 Ensures that when an employee is terminated from a Los Alamos YMP position, any YMP documents contained in the employee's working files are transferred to another Los Alamos YMP employee for disposition in accordance with this desk instruction. Copies of privileged records are forwarded to the Training Coordinator in a double envelope marked "Privileged," "Privileged Record," or a similar statement containing the word "Privileged."

6.3 Storage of One-of-a-Kind Quality Assurance Records

The **Record Source** must store one-of-a-kind quality assurance records retained for work in a two hour fire-rated facility with adequate temperature and humidity controls for its entire retention period.

6.4 Replacement of Lost or Damaged Records

The **Record Source** implements subsections 6.4.1 through 6.4.3.

6.4.1 Replaces, restores, or develops substitute records following determination that a record has been lost or damaged to a degree that it is no longer complete or legible.

6.4.2 For non-quality assurance records, if replacement or substitute records cannot be produced and processed, provides documentation stating the impact of the lost or damaged records on in-process or completed work, signs and dates the documentation, and obtains supervisor's signature and date on the documentation.

6.4.3 For quality assurance records, if replacement or substitute records cannot be produced, documents the condition in accordance with AP-16.1Q.

6.5 Limiting Access to the Los Alamos Record Files

The **Records Coordinator** implements subsections 6.5.1 through 6.5.5.

6.5.1 Initiates, dates, and signs a roster of YMP personnel who have unescorted access to the Los Alamos YMP non-privileged records and updates each roster, as necessary.

6.5.2 Initiates, stamps “Privileged,” “Privileged Record,” or a similar statement containing the word “Privileged," dates, and signs a separate roster of YMP personnel who have unescorted access to Los Alamos YMP privileged or EES-13/LV record files for records and updates each roster, as necessary.

6.5.3 Posts the rosters on or near the Los Alamos YMP record files.

6.5.4 Ensures that the Los Alamos record files are secured and that unescorted access is restricted to only the YMP personnel listed on the applicable access list.

6.5.5 Allows authorized U.S. Department of Energy and Los Alamos YMP personnel to review records when accompanied by an employee on the access roster.

6.6 Transmittal of Individual Records to the Records Coordinator

The **Record Source** implements subsections 6.6.1 through 6.6.2.5.

6.6.1 Memoranda, Letters, or Other Correspondence

6.6.1.1 If the record is a quality assurance record, as determined in subsection 6.1.2, enters “QA:L” in the upper right hand corner.

6.6.1.2 If the record was generated before January 22, 1991 and is intended to be a quality assurance record but does not meet the requirements of this desk instruction, enters “IND” in the upper right hand corner.

6.6.1.3 If the record is a non-quality assurance record, as determined in subsection 6.1.2, enters “QA:N/A,” in the upper right hand corner.

6.6.1.4 Ensures that the record contains a title or subject line, author’s name and, if applicable, the author’s organization that is descriptive of the record's contents.

6.6.1.5 For Los Alamos individual QA records, enters the traceability designator (in accordance with Attachment 6), in the title or subject line.

6.6.1.6 For Los Alamos individual Non-QA records, enters the traceability designator as defined in subsection 4.9, in the title or subject line.

6.6.1.7 Ensures that each attachment or enclosure is listed (by title and/or attachment number) on the record and included with the record, unless each attachment or enclosure is identified on the record by one of the following methods:

a. As “non-record material” (e.g., “The enclosure is non-record material.”).

b. By accession number as being previously processed into the records management system (e.g., “The enclosure submitted to Management and Operating Contractor-NNA.940512.0109”).

6.6.1.8 If the record is a privileged record identifies it as “Privileged,” “Privileged Record,” or a similar statement containing the word "Privileged" on the first page.

6.6.1.9 Ensures that the record meets the requirements listed on Attachment 2, and authenticates it by entering initials or

signature near the printed name and ensures that the current date is entered.

6.6.1.10 Forwards a copy of the record to a Records Coordinator within 20 working days after the date in subsection 6.6.1.9, either by adding the Records Coordinator to the distribution list on the record or by using a Records Table of Contents (Attachment 3). Privileged records are forwarded in a double envelope marked "Privileged," "Privileged Record," or a similar statement containing the word "Privileged."

6.6.1.11 Retains a copy of the record until receiving a notice from a Records Coordinator that it may be discarded.

6.6.2 Special-Processed or One-of-a-Kind Records

6.6.2.1 Completes Section I of a Special-Processed / One-of-a-Kind Record Table of Contents (Attachment 4).

a. Enters information adequately so that it is traceable to the record.

b. If the record was generated before January 22, 1991 and is intended to be a quality assurance record but does not meet the requirements of this desk instruction, marks the "IND" box.

6.6.2.2 Ensures that the record and the Special-Processed / One-of-a-Kind Record Table of Contents meets the requirements listed on Attachment 2 and authenticates the Special-Processed / One-of-a-Kind Record Table of Contents by entering the printed name, signature, and current date.

6.6.2.3 Ensures that the record is packaged, as necessary, to prevent damage during transit.

6.6.2.4 If a special-processed record

a. Forwards the original record and a duplicate and the Special-Processed / One-of-a-Kind Record Table of Contents to a Records Coordinator within 20 working days after the date in subsection 6.6.2.2.

b. Retains a copy of the record and the Special-Processed / One-of-a-Kind Record Table of Contents until a notice is received from a Records Coordinator that they may be discarded.

6.6.2.5 If a one-of-a-kind record

a Forwards the record and the Special-Processed / One-of-a-Kind Record Table of Contents to a Records Coordinator within 20 working days after the date in subsection 6.6.2.2.

b. Retains a copy of the Special-Processed / One-of-a-Kind Record Table of Contents until a notice is received from a Records Coordinator that it may be discarded.

6.7 Transmittal of Records Packages to the Records Coordinator

The **Record Source** implements subsections 6.7.1 through 6.7.9.

6.7.1 For each one-of-a-kind record that is retained for additional work, completes a One-of-a-Kind Record Locator (Attachment 5) and includes it in the records package.

6.7.2 For each individual or unique set of special-processed records that cannot be filed with the records package, completes a Special-Processed / One-of-a-Kind Record Table of Contents and includes it in the records package.

6.7.3 Organizes the records in a logical sequence in the package (e.g., chronologically).

6.7.4 Ensures that the primary record, as defined in subsection 4.6.7, has been assigned a traceability designator, as defined in subsection 4.9, from the formats listed on Attachment 6. The formats listed on Attachment 6 are mandatory except for records that were initiated before the effective date of this desk instruction and have a unique identifier already assigned.

6.7.5 Completes Section I of a Records Table of Contents (Attachment 3), which becomes a part of the records package.

6.7.5.1 If the record was generated before January 22, 1991 and is intended to be a quality assurance record but does not meet the requirements of this desk instruction, marks the “IND” box.

NOTE: Records within a records package are not required to have the QA designation annotated on them.

6.7.6 If the records are privileged records identifies them as “Privileged,” “Privileged Record,” or a similar statement containing the word “Privileged” on the Records Table of Contents.

6.7.7 Ensures that the records in the records package meet the requirements listed on Attachment 2, and that the Records Table of Contents is authenticated by entering the printed name, signature, and current date.

Authentication should be within 20 working days of completion of the last record in the records package.

6.7.8 Forwards a copy of the records package, unbound or loose-leaf, if possible, to a Records Coordinator within 20 working days after the date in subsection 6.7.7. Privileged records are forwarded in a double envelope marked “Privileged,” “Privileged Record,” or a similar statement containing the word “Privileged.”

6.7.9 Retains a copy of the records package until receiving a notice from a Records Coordinator that it may be discarded.

6.8 Transmittal of Records to the RPC

The **Records Coordinator** implements subsections 6.8.1 through 6.8.7.

6.8.1 Completes Section I of the RPC Records Transmittal/Receipt Acknowledgment (Attachment 7). The transmittal number has the following format: YY-NN, where YY is the year and NN is a sequential number beginning with 01.

6.8.2 Lists the indexing elements of each record on a transmittal list.

6.8.3 Within 3 months of the date on the Record Source's Record Table of Contents, forwards the RPC Records Transmittal/Receipt Acknowledgment, the transmittal list, and the record to the RPC in accordance with AP-17.1Q. Privileged records are forwarded in a double envelope marked “Privileged,” ”Privileged Record,” or a similar statement containing the word “Privileged.”

6.8.4 Files a copy of the record in a 1-hour fire rated container that bears an Underwriters' Laboratories label (or equivalent) certifying 1 hour fire protection. If the record is a privileged record, labels each drawer “Information Access Restricted.”

6.8.5 After receiving acknowledgment from the RPC that the YMP records were received, removes the copies from the 1-hour rated container.

6.8.6 After receiving acknowledgment from the RPC that the YMP records were imaged, implements subsections 6.8.6.1 through 6.8.6.2.

6.8.6.1 Discards the copies of the records.

6.8.6.2 Notifies the Record Source that the Record Source's copies of the records may be discarded.

6.8.7 If the RPC rejects and returns a record directly to the record source, the record source corrects the record and resubmits corrected record to the Records Coordinator for resubmittal to the RPC.

6.9 Modifying (e.g., correcting, supplementing, or superseding) a Record Previously Accepted by the RPC

The **Record Source** implements subsections 6.9.1 through 6.9.2.

6.9.1 Obtains the accession number for the previously accepted record from a Records Coordinator.

6.9.2 Transmits only the affected pages of the record to a Records Coordinator according to subsection 6.6 or 6.7 and enters a statement, either on the top of each page of a record not submitted on a Record Table of Contents or in the title or subject line of a Record Table of Contents, using the one stated in subsection 6.9.2.1 or 6.9.2.2 as a guide. For QA records, authenticates this statement by entering initials or signature and the current date near the statement.

6.9.2.1 For individual records

a. If a correction or supplement to a portion of an individual record is required, only the corrected or supplemental item (page) will be submitted. The accession number will be identified (e.g., "Correction [or Supplement] to accession number AAA.XXXXXXXX.XXXX.").

b. If an entire record must be superseded, the entire record will be submitted. The new record will identify the accession number of the record it is superseding (e.g., "This record supersedes accession number AAA.XXXXXXXX.XXXX.").

6.9.2.2 For records packages

a. If a correction or supplement to a records package is required, a new Table of Contents will be created and authenticated by the originating organization. Only the new pages will be listed on the Table of Contents and submitted. The Table of Contents will contain the following statement: "This is a correction or supplement to accession number AAA.XXXXXXXX.XXXX.

b. If a records package must be superseded, the entire records package will be submitted. The new records package will identify the accession number of the records package it is superseding (e.g., "This records package supersedes accession number AAA.XXXXXXXX.XXXX.").

6.10 Retrieval of Records from the RPC

An employee may request a copy of a record by providing the Records Coordinator with information pertinent to the record such as its traceability

designator, title or subject, source, accession number, date, and key words or phrases.

6.11 References Cited in LA-MS Reports

NOTE: The requirements in this subsection apply only to LA-MS reports that are designated by the Laboratory Lead as final reports.

6.11.1 The **Record Source** sends a list of report references to a Records Coordinator.

6.11.2 On receipt of the list of report references, the **Records Coordinator** submits by correspondence, the list of cited references to the YMSCO Research and Study Center. The YMSCO Research and Study Center will obtain copies of the cited references on the submitted lists.

7.0 RECORDS

The following are lifetime records generated from this desk instruction and are submitted with the records which they transmit.

- Special-Processed / One-of-a-Kind Record Table of Contents
- Records Table of Contents
- One-of-a-Kind Record Locator

8.0 TRAINING REQUIREMENTS

8.1 Prior to conducting work described in Section 6.0, the record sources, Records Coordinator, and supervisors require training to this desk instruction.

8.2 Training to this desk instruction is accomplished by “read only.”

9.0 ATTACHMENTS

Attachment 1: Guidelines for Record Determination (1 page)
Attachment 2: Records Requirements (2 pages)
Attachment 3: Record Table of Contents (2 pages)
Attachment 4: Special-Processed / One-of-a-Kind Record Table of Contents (1 page)
Attachment 5: One-of-a-Kind Record Locator (1 page)
Attachment 6: Los Alamos YMP Formats for Traceability Designators (3 pages)
Attachment 7: RPC Record Transmittal / Receipt Acknowledgment (1 page)

GUIDELINES FOR RECORD DETERMINATION

1.0 QUALITY ASSURANCE RECORDS

Quality assurance records are those resulting from YMP implementing documents (e.g., Los Alamos YMP Quality Administrative Procedures or Detailed Technical Procedures or Project Office Administrative Procedures) and are designated "QA:L" on record transmittals. The "L" signifies "lifetime." Each Los Alamos YMP quality assurance record is a lifetime record.

2.0 NON-QUALITY ASSURANCE RECORDS

Non-quality assurance records are records other than those resulting from YMP implementing documents and are designated "QA:N/A" on record transmittals. Examples include, but are not limited to, the following:

- correspondence from the public requesting information regarding the YMP and the responses to the requests
- presentations on YMP technical issues
- YMP status reports (e.g., monthly milestone status reports)
- YMP feasibility studies (e.g., for a program-wide cost control and scheduling system)
- issue papers and position papers relating approaches, difficulties, and perspectives on problems related to the YMP (e.g., for geoscience and environmental issues)
- guidance documents for conducting YMP business
- YMP project planning documents
- YMP cost and scheduling estimates
- YMP drilling program documentation that does not result from YMP implementing documents

NOTE: If there is any question as to whether a document is a record, contact a Records Coordinator, or a Technical Assurance Liaison.

RECORDS REQUIREMENTS

1.0 LEGIBILITY

An original record or a copy may be submitted to a Records Coordinator, but the one transmitted must meet the requirements listed below.

1.1 Is readable, clear, and distinct.

1.2 Information is to be entered on records in dark markings against a light background. Blackline prints of drawings should be used as opposed to blueline prints or sepia copies, when possible.

1.3 Photocopies are properly aligned and not skewed.

1.4 Stamps or other marks do not obscure the text of records.

NOTE: This requirement is not applicable to stamps or marks such as preprinted Controlled paper, notary stamps, or "Example" stamps on forms in procedures.

2.0 CORRECTIONS

NOTE: Authentication of a record correction by the Record Source or an employee authorized by the supervisor responsible for the record signifies approval of the correction by the originating organization.

2.1 A record is corrected by drawing a single line through the erroneous information, inserting or indicating the correct information, and initialing and entering the current date in the close proximity of the correction.

NOTE: A document that has been marked up for the purpose of providing a review comment is not considered to have been changed and does not need to be initialed and dated.

2.2 An incomplete or illegible record will be corrected by one of the methods stated below.

a. Transcribing, regenerating, or enhancing (illegible information only) the information. An insertion or enhancement (e.g., darkening a faint, illegible character) is considered a change and must be initialed and dated.

b. Obtaining and submitting a new, complete, and legible record.

3.0 COMPLETENESS

3.1 Each record received from outside sources must be attested to by the Record Source as being complete for the intended use (e.g, by authenticating the record or Record Table of Contents) and must meet the requirements of this desk instruction.

3.2 Each quality assurance and non-quality assurance record must have accountability for each blank line or space as stated below.

a. Blank lines and spaces in a quality assurance record must be accounted for in accordance with the procedure that generates it.

b. A statement indicating that a blank line or space is intentional must specify the page of the affected line or space.

c. A form may be designed in such a manner that it is clear that when a line or space is left blank, it is not applicable to the activity (e.g., a statement by the authenticator indicating that a line or blank space is not applicable to the activity).

3.3 No portions of text on a page will be missing or obliterated (e.g., due to tearing or folding of page edges or to hole punching). Unintentional obliterations must be corrected in accordance with subsection 2.0 above. Intentional obliterations must bear a statement, signed and dated by the Record Source or an employee authorized by the supervisor responsible for the record, to indicate that the obliterated information does not impact the technical meaning or content of the record.

3.4 Each attachment or enclosure must be listed (by title and/or attachment number) on the record and included with the record, unless each attachment or enclosure is identified as not being record material or identified as being previously processed into the records system by accession number. Each attachment or enclosure must meet the requirements of this procedure.

3.5 Each QA record must be appropriate to the work accomplished and identifiable to the activity to which it applies.

4.0 MISCELLANEOUS

4.1 Drafts must be clearly marked “Draft” on the first page. Drafts that are designated as records by implementing procedures will be submitted with the final records within a records package.

4.2 Records with minimum dimensions greater than 14 inches will be rolled for submittal to a Records Coordinator.

RECORD TABLE OF CONTENTS

SECTION I. RECORD SOURCE

CHECK ONE: ☐ INDIVIDUAL RECORD ☐ RECORDS PACKAGE

TRACEABILITY DESIGNATOR: _____ CHECK ONE: ☐ QA:L ☐ QA:N/A ☐ IND

TITLE OR SUBJECT:

CONTENTS

RECORD DATE	RECORD IDENTIFIER	TITLE OR SUBJECT	PAGE COUNT

EXAMPLE

TOTAL NUMBER OF PAGES: (Including this page and continuation pages) _____

RECORD SOURCE: TRANSMITTAL IDENTIFIER: (Optional) _____

NAME: _____ (Print name) _____ (Signature) _____ (Date)

SECTION II. LOS ALAMOS RECORDS COORDINATOR

RECORDS HAVE BEEN ACCEPTED BY THE LOS ALAMOS RECORDS COORDINATOR FOR TRANSMITTAL TO THE RPC:

NAME: _____ (Print name) _____ (Signature) _____ (Date)

Los Alamos
Yucca Mountain Site Characterization Project

RECORD TABLE OF CONTENTS

CONTINUATION PAGE: No. _____ of _____

TRACEABILITY DESIGNATOR: _____

CONTENTS

RECORD DATE	RECORD IDENTIFIER	TITLE OR SUBJECT	PAGE COUNT

EXAMPLE

SPECIAL-PROCESSED/ONE-OF-A-KIND RECORD TABLE OF CONTENTS

SECTION I. RECORD SOURCE

TRACEABILITY DESIGNATOR: _____ (Only if part of a record package)

CHECK ONE: ☐ QA:L ☐ QA: N/A ☐ IND

CHECK ONE: ☐ SPECIAL PROCESSED RECORD ☐ ONE-OF-A-KIND RECORD

CONTENTS

RECORD DATE	RECORD IDENTIFIER	RECORD MEDIA	TITLE OR SUBJECT	PAGE COUNT

EXAMPLE

TOTAL NUMBER OF PAGES: (including this page) _____

SPECIAL INSTRUCTIONS FOR STORAGE, MAILING PLAYBACK, PRESERVATION, ETC.: (Enter N/A if none)

RECORD SOURCE: TRANSMITTAL IDENTIFIER: (Optional) _____

NAME: _____ (Print name) _____ (Signature) _____ (Date)

SECTION II. LOS ALAMOS RECORDS COORDINATOR

RECORDS HAVE BEEN ACCEPTED BY THE LOS ALAMOS RECORDS COORDINATOR FOR TRANSMITTAL TO THE RPC:

NAME: _____ (Print name) _____ (Signature) _____ (Date)

ONE-OF-A-KIND RECORD LOCATOR

COMPLETE ONLY IF RECORD IS REFERENCED BUT NOT ENCLOSED IN A RECORD PACKAGE. INCLUDE THIS FORM WITH RECORD PACKAGE.

TRACEABILITY DESIGNATOR: _____

CHECK ONE:

☐ QA:L ☐ QA: N/A ☐ IND

RECORD DESCRIPTION:

RECORD LOCATION: (i.e., as applicable, city state; street address, TA, building number, room number, and file number)

EXAMPLE

OTHER INFORMATION: (Enter N/A if none)

RECORD SOURCE:

NAME: _____ (Print name) _____ (Signature) _____ (Date)

LOS ALAMOS YMP
FORMATS FOR TRACEABILITY DESIGNATORS

PROCEDURE	PRIMARY RECORD(S)	PRIMARY RECORD IDENTIFIER	COMMENTS
LANL-YMP-QP-01.3	Conflict Resolution Documents	LA-CR-NN	CR (Conflict Resolution); NN (numerical sequence, e.g., 01)
LANL-YMP-QP-01.4	Delegation of Authority	LA-DL-GROUP-YY	DL (delegation of authority records); GROUP (originating Los Alamos group); YY (last two digits of the year the record was written)
LANL-YMP-QP-02.5	Training Documents	employee's name	e.g., Sandy Martinez
LANL-YMP-QP-02.7	Training Records	employee's name	e.g., Mike Clevenger
LANL-YMP-QP-02.11	Orientation form	employee's name	e.g., Cleoves Martinez
LANL-YMP-QP-02.12	Exemption Control Documents	LA-EX-NNN	EX (exemption); NNN (numerical sequence beginning with 001)
LANL-YMP-QP-03.5	Notebook	LA-GROUP-NBK-YY-NNN	Group (the Los Alamos group, e.g., EES-13, EES-13/LV, LBL, CST-7, etc.); NBK (notebook); YY (last two digits of the year the notebook's primary record identifier was issued); NNN (a designated number)
LANL-YMP-QP-03.20	Software Module	Name of the code	e.g., SYSTAT
LANL-YMP-QP-03.21	Software Module	Name of the code	e.g., FEHMN

LOS ALAMOS YMP
FORMATS FOR TRACEABILITY DESIGNATORS

PROCEDURE	PRIMARY RECORD(S)	PRIMARY RECORD IDENTIFIER	COMMENTS
LANL-YMP-QP-03.23	Technical Information Product	LA-GROUP-TIP-YY-NNN	GROUP (Los Alamos, group, e.g., EES-13, EES-13-LV, CST-8, etc.); TIP (technical information product), YY (last two digits of the year the TIP's primary record identifier was issued); NNN (a designated number)
	Study Plan	LA-N.N.N.N.N.N	N.N.N.N.N.N (study plan number)
LANL-YMP-QP-03.25	Design & Test-Related Information	Preassigned as noted in the comments column.	These are usually assigned by YMSCO. Examples include "TPP 92-12" for test planning packages and "JP92-20B" for job packages.
LANL-YMP-QP-04.6	Purchase Request	LA-PR-XXXXX	PR (purchase request); XXXXX (identifier printed on the PR)
LANL-YMP-QP-06.1	Quality Administrative Procedure	LANL-YMP-QP-NN.N	QP (quality administrative procedure); NN.N (the QP's number)
	Detailed Technical Procedure	LANL-GROUP-DP-NNN	GROUP (Los Alamos group, e.g., EES-13, EES-13/LV, CST-7, etc); DP (detailed technical procedure); NNN (DP's number)
LANL-YMP-QP-06.2	Quality Administrative Procedure	LANL-YMP-QP-NN.N	QP (quality administrative procedure); NN.N (the QP's number)
LANL-YMP-QP-06.3	Detailed Technical Procedure	LANL-GROUP-DP-NNN	GROUP (Los Alamos group, e.g., EES-13, EES-13/LV, CST-7, etc); DP (detailed technical procedure); NNN (DP's number)

LOS ALAMOS YMP
FORMATS FOR PRIMARY RECORD IDENTIFIERS

PROCEDURE	PRIMARY RECORD(S)	PRIMARY RECORD IDENTIFIER	COMMENTS
LANL-YMP-QP-08.3	Technical Data Supplement	LANNNNNNNNNNNN.NNN	NNNNNNNNNNNN.NNN (number assigned by the Technical Data Base Administrator)
	Reference Information Base Request	CR88	This is an example of a number assigned by the Reference Information Base Administrator
LANL-YMP-QP-12.3	M&TE Report	D25165	Use the M&TE identifier from the M&TE Report.
LANL-YMP-DI-18.2	Survey Report	LA-SR-GROUP-YY-NN	SR (survey report); GROUP (Los Alamos group the survey was performed on); YY (last two digits of the year the survey was performed); NN (numerical sequence beginning the 01)

RPC RECORD TRANSMITTAL/RECEIPT ACKNOWLEDGMENT

SECTION I. LOS ALAMOS RECORDS PROCESSING CENTER

TO: RPC

PAGE _____ OF _____

FROM: Los Alamos Records Coordinator

TRANSMITTAL NUMBER:

THE ATTACHED LIST REPRESENTS RECORDS BEING TRANSMITTED TO THE MANAGEMENT AND OPERATING CONTRACTOR FOR PROCESSING. THE LIST INCLUDES THE FOLLOWING INDEXING ELEMENTS:

- INDIVIDUAL RECORD/RECORDS PACKAGE
- RECORD IDENTIFIER
- RECORD TITLE/SUBJECT
- RECORD PAGE COUNT
- RECORD SOURCE
- RECORD DATE

EXAMPLE

SENDER: _____ (Name) _____ (Signature) _____ (Date)

ORGANIZATION: _____ _____ (Mail Stop)

SECTION II. RPC RECEIPT ACKNOWLEDGMENT

RPC RECIPIENT: _____ (Print name) _____ (Signature) _____ (Date)

RPC ACCEPTANCE: _____ (Name) _____ (Date)

Please return this form to sender listed above.

Los Alamos
Yucca Mountain Site Characterization Project